

Section IV. Risk Assessment

INSTRUCTIONS

For projects over \$250,000 or for projects that include an exception to the Enterprise Architecture Standards (1-505) or the Court Automation Standards (1-501) complete all six categories in the following **Section IV. B. Risk Evaluation** then transfer the scores to the summary table below, and the table included in the Management Summary.

Score

Questions for the six risk categories are scored with 1 point for a "Yes" answer, and zero for a "No" answer. Maximum Possible score is 37 representing a "Yes" answer to all questions.

A. Risk Summary

Category	Maximum Possible	Score	Description
1. Strategic	6	6	Aligns with Court and Statewide Enterprise Architecture, goals, objectives, policies, standards and IT strategic plan.
2. Management	6	6	Senior and intermediate management is involved in, and supports, the project. A steering committee/project team is in place.
3. Operational	5	5	Adverse effects on current operations are unlikely or contingency plans are in place. Supports Agency Performance Measures.
4. Scope and Requirements	7	5	Scope and requirements are, or will be, clearly defined and approved. Effect on business processes has been assessed.
5. Technologies Competency	7	7	Agency has available, or will secure appropriate skills to implement the project. Organizational readiness has been assessed.
6. Infrastructure	6	6	All key elements are included to fully implement the project. No additional

Dependencies			costs are anticipated to deliver benefits.
Total	37	35	

General Comments:

Under Scope and Requirements, questions 5 and 7 ask if all the “in scope” and “out of scope” have been defined, and, have all the data conversion tasks been identified.

We are addressing the details of this project a module at a time. Therefore, these details for all modules have not been done at this time. It will be done at their appropriate times during the course of development.

B. Risk Evaluation

INSTRUCTIONS

The "Yes" answer receives a score of 1 point and any other answer receives no points and requires an explanation. The bottom box is used for the explanations.

Transfer the total score for each category to the Risk Summary.

1. Strategic

The project aligns with Court and Statewide Enterprise Architecture, goals, objectives, policies, standards and IT strategic plan.

<i>Score 1 Rating Point for a "Yes" Answer</i>	<i>Yes</i>	<i>No*</i>
1. Does this project directly accomplish a strategic goal as outlined in an approved court IT strategic plan?	<u>1</u>	
2. Is there a written assessment of short-term and long-term effects the project will have on operations?	<u>1</u>	
3. Is the project technology already in place in your court so that IT/user training is minimized?	<u>1</u>	
4. Have you evaluated implementations of this technology in other agencies or businesses?	<u>1</u>	
5. Will this project accommodate business operations, without additional upgrades, for the next 3-5 years?	<u>1</u>	
6. Will the project meet or exceed statewide Enterprise Architecture standards?	<u>1</u>	

Total Rating Points	6
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*Explain all "No" Responses:

2. Management

Senior and intermediate management is involved in, and supports, the project. A steering committee/project team is in place.

<i>Score 1 Rating Point for a "Yes" Answer</i>	<i>Yes</i>	<i>No*</i>
1. Are core business activities supported by the project?	<u>1</u>	
2. Does this project have a senior management sponsor?	<u>1</u>	
3. Has a project management team with relevant experience been formed?	<u>1</u>	
4. Are project planning and project management practices in place?	<u>1</u>	
5. Are managers prepared to commit user time necessary for training?	<u>1</u>	
6. Has the designated Project Manager successfully implemented projects of this scope in the past?	<u>1</u>	
Total Rating Points	6	

*Explain all "No" Responses:

3. Operational

Adverse effects on current operations are unlikely or contingency plans are in place. The project supports Court Performance Measures.

<i>Score 1 Rating Point for a "Yes" Answer</i>	<i>Yes</i>	<i>No*</i>
1. Can technical personnel continue maintenance/support and implement the project concurrently?	<u>1</u>	
2. Has, or will a user acceptance-testing plan been devised?	<u>1</u>	
3. Has the project's effect on current operations been thoroughly assessed?	<u>1</u>	
4. Does the system affect one location only? If not, is a statewide roll-out plan in place?	<u>1</u>	
5. Has a disaster recovery or contingency plan been devised in the event of project failure or delayed implementation?	<u>1</u>	
Total Rating Points	5	

*Explain all "No" Responses:

4. Scope and Requirements

Scope and requirements are, or will be, clearly defined and approved. Effect on business processes has been assessed.

<i>Score 1 Rating Point for each "Yes" answer</i>	<i>Yes</i>	<i>No*</i>
1. Have Management and the Project Team approved a Requirements Document?	<u>1</u>	
2. Have deliverables been clearly identified and appropriately scheduled?	<u>1</u>	
3. Have critical success factors been identified and agreed to by users and the Project Team?	<u>1</u>	
4. Is there a Change Management process in place?	<u>1</u>	
5. Have "In Scope" and "Out of Scope" items been identified and agreed to by all stakeholders?		<u>1</u>
6. Have technical personnel documented core business processes?	<u>1</u>	
7. Have all data conversion/data entry tasks been defined and time allocated in the implementation plan?		<u>1</u>
Total Rating Points	5	

*Explain all "No" Responses:

Both the "in scope" and "out of scope" requirements consensus and the data conversion identification will be done a module at a time. We are addressing the details of the scope requirements and conversions issues for the Detention module right now. These same issues will be dealt with at the beginning of each JOLTS module.

Since Question #5 is a blanket question encompassing the breadth of the entire project, the answer is "no". Since Question #7 refers to "all" data conversion tasks, the answer is "no".

5. Technology Competency

Court has available, or will secure, appropriate skills to implement the project.
Organizational readiness has been assessed.

<i>Score 1 Rating Point for each "Yes" answer</i>	<i>Yes</i>	<i>No*</i>
1. Do project technical personnel possess required skills?	<u>1</u>	
2. Has adequate training been included for both users and technical personnel?	<u>1</u>	
3. Have technical personnel developed other systems using the proposed platform/language?	<u>1</u>	
4. Are technical personnel fully versed in core business operations?	<u>1</u>	
5. Do all technical personnel possess sufficient experience developing systems using the proposed technology?	<u>1</u>	
6. If a vendor is involved, is the vendor financially stable and well established?	<u>1</u>	
7. Has the assigned project team delivered projects of similar complexity on time and on budget, in the past?	<u>1</u>	
Total Rating Points	7	

*Explain all "No" Responses:

6. Infrastructure Dependencies

All key elements are included to fully implement the project. No additional costs are anticipated to deliver benefits.

<i>Score 1 Rating Point for each "Yes" answer</i>	<i>Yes</i>	<i>No*</i>
1. Will the project deliver full functionality without future upgrades and additional development cost?	<u>1</u>	
2. Is all existing technology compatible with the proposed system?	<u>1</u>	
3. Have all environmental, electrical and security concerns been studied and addressed in the plan?	<u>1</u>	
4. Is key hardware/software available within the project plan constraints?	<u>1</u>	
5. If key services will be replaced, has the impact on users been evaluated, and have users agreed to the changes?	<u>1</u>	
6. Have all current and future operating costs related to the project been included in the PI J?	<u>1</u>	
Total Rating Points	6	

* Explain all "No" Responses: